

***Reference Manual  
for Submitting an  
Application for  
Participation in  
Title I  
Neglected and Delinquent Program  
(P.L. 103-382)***

**IOWA DEPARTMENT OF EDUCATION  
1997-98**

## FOREWORD

The principle objective of this set of instructions is to assist the Applicant Agency in preparing a Title I, IASA Neglected and Delinquent (N & D) Application. It explains the purpose of many of the items on the forms and gives specific instructions for the completion of each item.

The instructions section is arranged so that item-by-item instructions and directions are presented in the same order in which the information must be reported on the completed State application forms.

Should you need assistance in completing your application forms, please feel free to call the Title I Office, Teresa McCune, at 515/281-4732.

The following items must be submitted to the State Educational Agency (SEA) when making a Title I N & D application.

An original and two copies      N & D Application, IASA, Title I

An original and two copies      Total and Individual Institution Supplementary Budgets

Applications must be submitted prior to the implementation of a program. All expenses incurred prior to the filing of an application in generally approvable form will be the responsibility of the applicant agency.

**Page 1 of 7**  
**Applicant Agency Information**

<b>The applicant agency designated below hereby applies for a grant of federal funds to provide activities and services to improve educational services to children in institutions for neglected or delinquent or in adult correctional facilities, and that the applicant is in compliance with all assurances set forth on page 2 of this application.</b>	
Applicant Agency	
Name and Address of Authorized Representative	Name, Title and Mailing Address of Contact Person
Signature of Authorized Representative	Date
Telephone (Area Code and Number)	FAX Number

**Applicant Agency**

Please enter the legal name of the state agency making application for Title I neglected and delinquent, Part D funding for the 1997-98 school year.

**Name and Address of Authorized Representative**

Please enter the name of the state agency official who has been designated to make claims for federal funds and is responsible for the correctness and completeness of the information contained in the application.

**Name, Title and Mailing Address of Contact Person**

The contact person is the individual who will be contacted about information given on this application. If the contact person is the same as the authorized representative, write "same" in the box designated. Otherwise, enter his/her name, mailing address, and office telephone number.

**Signature of Authorized Representative**

Please read the certification statement on the front page of the application as well as the assurances on page 2. The signature that is placed on this application by the authorized representative of the applicant agency indicates an agreement to comply with the statement included in the certification and the assurances. The signature of the authorized representative as determined above must appear in the appropriate box along with the date before the application can be approved.

**Page 1 of 7**  
**Application Approval**

<b>Application Approval (To be completed by State Educational Agency)</b>				
Current #	Agency Code No.	Maintenance of Effort	Current Allocation	Carryover Allocation
Carryover #		Maintenance of Effort	Current Approved	Carryover Approved
Signature (Authorized SEA Official)			Date	

The Application Approval Section will be completed by the SEA once the application has been approved. The Application Approval Section will give the project number, the allocation and approved amount for each approved project, and the signature of the authorized official of the Iowa Department of Education, and date of approval.

**Page 2 of 7**  
**Section 1 - Assurances**

The Assurances are to be read by the applicant representative. The signature that is placed on this application by the authorized representative of the applicant agency indicates an agreement to comply with the statements included in the Assurances and the certification on page 1.

**Page 3 of 7**  
**Section 2 - Participation Data**

**Institutions that will Receive Services Through this Grant**

Institution and Address	Contact Person, Title, Telephone Number, FAX Number (if applicable)
1. _____ _____ _____	_____ _____ _____

List all the institutions that will receive Title I N & D services through this grant application. On the right-hand side, list the contact person who has the responsibility of seeing that the educational activities described in this application are carried out at the listed institution.

**Estimated Number of Students Who Will Participate**

GRADE LEVEL	CHILDREN TO BE SERVED	
	MALE	FEMALE
Junior High (7-8)		
Senior High (9-12)		
Drop-Outs		
Total of all Students to be Served		

This section should include an estimated combined State count of the number of female and male students who will participate in the Title I funded N & D program.

**Estimated Number of Students by Ethnic Groups Who Will Participate**

White, Not Hispanic	Black, Not Hispanic	American Indian, or Alaskan Native	Hispanic	Asian or Pacific Islander

Enter the combined state count of students by racial or ethnic characteristics as indicated. Please do not include any ethnic preference not listed as these represent those groups recognized by the U.S. Department of Education.

**Page 3 of 7**  
**Section 3 - Staff Assignments and Budget Information**

**Title I Project Staff Assignments**

THIS SECTION SHOULD REFLECT THE AMOUNT OF STAFF FUNDED FROM CURRENT ALLOCATION		
TITLE I STAFF	ESTIMATED STAFF FOR REGULAR TERM	
	NUMBER	FTE
CERTIFIED		
EDUCATIONAL ASSOCIATES		
SUPPORTIVE		
TOTALS		

Enter the statewide number of staff assignments for which salary payments will be made from Title I N & D funds for services to be performed.

Complete full-time equivalency (FTE) for the FTE of a staff member's salary paid by this application. Carry this figure (FTE) out to one decimal point (e.g. 0.7). Also, if carryover funds are used for partial salaries, it will be necessary to prorate the FTE.

The terms certified, educational associates and supportive personnel are defined as follows:

1. Certified - These are the teachers who have been employed to perform the teaching activities described in this application. Any individual performing instructional duties must be recorded as certified in this application.
2. Educational Associates - These are the educational aides who under the direction, supervision, and control of the Title I N & D instructional staff: (1) supervise Title I N & D students on a monitorial or service basis; (2) work with Title I N & D students in a supportive role under conditions determined by the Title I N & D instructional staff; and (3) perform various clerical or routine school tasks for the Title I N & D instructional staff. Only one-half time or more than one-half time educational Title I N & D associates will be approved to work in a Title I funded program.
3. Supportive - This term refers to both certified and non-certified staff members who will be employed to assist and support the teaching activities described in this application.

### **Title I Budget for Total Program**

This application has a total program budget page, a total supplementary budget page, and an additional institution supplementary budget page.

The budget for total program should represent the combined total of all amounts to be expended at each institution to be served by Title I N & D funds. The total supplementary budget page provides a detailed account of the expenditures to be incurred. Round all numbers to the nearest dollar.

The institution supplementary budget page should reflect the amounts to be expended at each institution. If all institution's supplementary budget pages were added together they should equal the budget for total program shown in Section 3, page 4 of the application.

Explanation of the project budget will be made by discussing the nine columns moving left to right across the top of the budget.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)

Functions - Column 1 - Each function number shown in Column 1 represents a broad series of expenditures used in uniform financial accounting.

Expenditure Accounts - Column 2 - These line items represent the names of expenditure accounts to be used to classify Title I expenditures.

Objects - Salaries - Column 3 - The salary amounts include all payments for services rendered to be paid directly by the applicant from Title I funds. Do not include salaries paid from Phase I, II or III monies.

Objects - Employee Benefits - Column 4 - Title I funds may be used to pay Iowa Public Employees Retirement Systems (IPERS), Federal Insurance Contribution Act (FICA) of salaried Title I employees, and other district benefits. Since the percent of contribution on both above-mentioned programs may change, proposed expenditures should be based upon current percents. Itemize the employee benefits by categories on the supplementary budget page—Social Security, Medicare, IPERS, and insurance (e.g. workers compensation insurance, medical, dental, disability, life insurance, and unemployment).

Objects - Purchased Services - Column 5 - Purchased Services includes all payments to be made to other agencies or individuals not on the payroll for specific services performed.

Objects - Supplies - Column 6 - Approvable amounts for materials and supplies for Title I project are to be entered in Column 6.

Expenditures for materials and supplies will be limited to the minimum required to implement and continue approvable Title I activities or services and the amount shall not normally exceed 6 percent of the total costs applied for in the application. An itemized list of supplies desired to be purchased should be included with the supplementary budget.

Objects - Property - Column 7 - Approvable amounts for instructional equipment are to be entered on the project budget in Column 7, total amount, and on the supplementary budget page.

Expenditures for instructional equipment will be limited to the minimum required to implement and continue approvable Title I activities or services and the amount shall not normally exceed 4 percent of the total amount applied for in the application. An itemized list of instructional equipment desired to be purchased must be included with the supplementary budget.

Objects - Other Expenses and Other Uses of Funds - Column 8 - The other expenses column includes other expenditures not classified as salaries, employee benefits, purchased services, supplies, or property. This is the column to use for professional dues and indirect costs.

Objects - Total - Column 9 - This column includes the sum total of amounts recorded in Columns 3 through 8.

Explanation of the Functions 1000-4000 requires certain detail related to existing regulations governing these expenses. Each line item is explained as follows:

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
1000	Instruction							

**Function 1000 - Instruction** - This includes Salaries, Column 3, paid to the employees who have been employed to complete the teaching activities of the project. Employee Benefits, Column 4, Title I funds may be used to pay Iowa Public Employees Retirement (IPERS) and Federal Insurance Contribution Act (FICA) of salaried Title I teachers and educational associates as these are mandated by law. Purchased Services, Column 5, includes amounts for instructional services purchased from other agencies or rental of instructional equipment. It also includes expenses incurred to provide the instructional service of the Title I activity. An example would be the travel expense of a teacher who had teaching duties in two attendance centers during the day. The expense of such travel would be included in this column.

Column 6, includes approvable amounts for materials and supplies for Title I project. Column 7, includes approvable amounts for instructional equipment. Column 8, Other Expenses and Other Uses of Funds, includes expenses for professional dues.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
2200	Instructional Staff Support Services							

**Function 2200 - Instructional Staff Support Services** - Column 5, Purchased Services includes amounts for inservice and travel.

Certain restrictions exist in applying for Title I funds to be used for inservice. They are as follows:

1. Prior approval by the SEA must be given before any Title I funds can be used for inservice.
2. A detailed description of proposed inservice activities should be completed in Section 4 of this application showing how the proposed inservice has been designed to enhance the Title I instructional activity.
3. A proposed inservice activity is primarily for Title I teachers; however, non-Title I teachers may participate if they have Title I participating children in their regular classroom.
4. Title I funds may be used to pay the tuition expenses of Title I teachers; however, prior approval is necessary. It is understood that the content of the course must be directly related to teaching activities described in Section 4.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
2300	Administration Support Services							

**Function 2300 - Administration Support Services** - Basically, Salaries (Column 3) and Employee Benefits (Column 4) for the administration of Title I projects cannot be paid from Title I funds. There are two notable exceptions to this rule. These are:

1. When the project is of sufficient size and scope to merit a full-time administrator or administrative staff. The final decision as to size and scope is made by the SEA.

2. When summer school activities are of sufficient size and scope to merit a full-time administrator. Again, the final decision as to size and scope is made by the SEA. A letter must accompany the application stating that a director of the summer school is not otherwise under General Fund contractual obligation.

Column 8, approvable amounts for restricted indirect costs are to be entered on the project budget in Column 8, Other Expenses and Other Uses of Funds.

The restricted indirect cost percentage can be applied only to the amounts of salaries and employee benefits approved for Title I staff.

Indirect Costs are those costs which are not readily identifiable with the activities or contracted, but are nevertheless incurred for the joint benefit of those activities and programs of the organization. The advantage of an Indirect Cost Allocation Plan and rate is that it is a simplified means for determining a fair share for indirect costs of federal grants and contracts.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
2700	Student Transportation Services							

Function 2700 - Student Transportation Services - Title I funds may be used to pay the transportation expense of students to Title I activities.

Column 3, Salaries, should contain the amount needed to pay the salaries of the bus drivers. Column 4 would include employee benefits of the bus drivers. Column 5 would include any contractual agreement with an outside agency for busing children.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
3100	School Nutrition							

Function 3100 - School Nutrition Services - Title I funds may be used for providing food and food services only when they are not covered by state or federal funds received from the Bureau of Food and Nutrition of the Iowa Department of Education. Each request will be reviewed individually by the SEA.

FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
3300	Comm. Services							

Function 3300 - Community Services (Parent) - Title I funds may be used for activities associated with parent involvement.



FUNCTION	EXPENDITURE ACCOUNTS	OBJECTS						
		SALARIES	EMPLOYEE BENEFITS	PURCHASED SERVICES	SUPPLIES	PROPERTY	OTHER EXPENSES/ OTHER USES OF FUNDS	TOTAL
(1)	(2)	(3) 100	(4) 200	(5) 300-500	(6) 600	(7) 700	(8) 800-900	(9)
4000	Facilities Acquisition/Const							

Function 4000 - Facilities Acquisition and Construction - This line item is rarely used. Prior approval by the SEA will be needed, and each request will be reviewed individually.

### Supplementary Budget Pages

The Title I N & D application has two different supplementary budget pages, the TOTAL AND INDIVIDUAL INSTITUTION. The TOTAL supplementary budget page should provide detail that was not possible to provide in the Budget of Total Program on page 4 of the application. The INDIVIDUAL INSTITUTION supplementary budget page should be used to provide a breakdown of the TOTAL budget by each institution to be served with Title I N & D funds.

TOTAL and INDIVIDUAL INSTITUTION Supplementary Budget pages must be completed before the application will be approved.

## Page 5 of 7

### Section 4 - Title I N & D Institution Program Description

1. ***Describe how the Title I program in the institutions will increase the level of learning of students and the procedures to be used to assess student progress.***

Give a brief description of how Title I instructional supplementing services are designed to increase the level of learning for students and the measurable instruments the institution will use to assess and report student progress.

2. ***Describe the service delivery plan in Title I institutions.***

Include a brief description of services to be provided at each institution. The description should include pupil-teacher ratio, amount of instructional time, methods and approaches, and coordination of services with other programs.

## Page 6 of 7

### Section 4 - Title I Program Description (continued)

3. ***Describe the professional development opportunities for teachers and other staff in Title I institutions.***

Institutions receiving Title I funds are required to provide high quality professional development that will improve the teaching of the academic subjects in order to enable all students to meet student performance standards.

4. ***Describe how Title I services in the institutions will be coordinated and integrated with other educational services.***

Describe how the institution will coordinate and integrate Title I services with other educational services within the institution and, if applicable, how it will reduce fragmentation and eliminate duplication of the instructional program. Such services might include vocational education programs, school-to-work, services for children with limited English proficiency, disabilities.

## **Page 7 of 7**

### **Section 4 - Title I Program Description (continued)**

#### **5. *Describe any additional services provided to youth, such as career counseling, and assistance in securing students loans and grants.***

In addition to Title I, give a brief overview of other services/programs offered to youth within the institution such as job training, educational opportunities, and career counseling.

## **GENERAL INFORMATION**

### **Carryover**

The SEA has established a \$1,000 minimum for a carryover allocation. Carryover funds are computed by subtracting the approved current budget figure from the current allocation. Title I allows a maximum carryover of 15 percent.

### **Title I Grant Availability and Allocation Process**

Funds to state agencies for neglected and delinquent programs are available under Title I, IASA, Part D, Subpart 1. The statute authorized grants to institutions for education programs that serve children and youth in State-operated institutions or community day programs for neglected or delinquent children and in adult correctional facilities. State allocations are based on the number of N and D children enrolled in a regular program of instruction for at least 1) 15 hours per week if in an adult correctional institution, and 2) 20 hours per week if in an institution or community day program for N and D children. State agencies responsible for providing free public education for N and D children apply directly to the SEA for these funds. In Iowa, the Iowa Department of Corrections and the Iowa Department of Human Services receive allocations which are determined, on the basis of the reported caseloads, by the U.S. Department of Education. The Iowa Department of Corrections provides Title I services at the Clarinda Correctional Facility, Iowa Men's Reformatory in Anamosa, Iowa Medical and Classification Center in Oakdale, and Mt. Pleasant Correctional Facility. The Iowa Department of Human Services provides Title I services at the Iowa Juvenile Home and the State Training School Eldora and Toledo campuses.

### **Title I Fiscal Reporting Requirements**

Legislation places the responsibility for administering programs supported by federal funds under Title I on the Secretary of Education, state educational agencies, and local educational agencies. It is incumbent upon all concerned to use such funds in accordance with the spirit of the legislation.

A Title I grant recipient must use grant funds in accordance with an approved budget and for the purposes for which the project has been approved. In addition, the grant recipient must maintain adequate records on all project funds by fiscal year and project number.

### **Title I Financial Reporting**

Upon approval of the Title I application, the grant recipient will receive approximately one-fourth of the approved amount about October 1. An additional one-fourth will be sent about January 1, and one-fourth will be sent about April 1. Final payment, not to exceed the balance due on the approved amount, will be made after the project is closed and the Final Financial Report has

been received and reviewed by the Title I office. The final payment will be the difference between receipts and approved actual expenditures.

The Final Financial Report will be checked against the Title I approved budget and the Audit Report. Should discrepancies occur, the SEA will correspond with the grant recipient to resolve the discrepancy and will request a refund of the amount in question for any unspent monies or funds expended in violation of the Title I legislation.

The approved Title I project budget expenditure category amounts are the controlling figures in comparing Final Financial Reports and Audit Reports. A 10 percent variance is permissible for an expenditure category provided the total approved budget amount is not violated. The two exceptions to the 10 percent variance are:

1. Indirect Cost - This figure cannot exceed the amount approved in budget function 2300, column 8.
2. Employee Benefits - This figure cannot exceed the amount approved if only FICA and IPERS are the itemized approved charges. Salaries paid by Title I will be the controlling figure to use in computing the employee benefits amount. However, if insurance benefits have been approved in the budget, the 10 percent expenditure category variance could then be applied insofar as this cost item would affect the approved Title I expenditure category figure.

When the grant recipient realizes that the 10 percent expenditure category variance will hamper the Title I program and penalize the grant recipient in a financial manner, the proper procedure is for the grant recipient to file an amended application which will reflect the proper expenditure amounts. If this procedure is not followed, the grant recipient will be penalized the amount the expenditure exceeds the 10 percent variance.

When the grant recipient reports on the Final Financial Report that actual expenditures were less than originally approved on the Title I application budget, the grant recipient must amend the project budget to the actual expenditures in order for the grant recipient to retain the approved unused funds.

Equipment acquired with funds provided under Title I must be used for Title I students. The title to and administrative control over such equipment must be retained and exercised by a public agency. In exercising that administrative control, the public agency shall not only keep records of and account for the equipment, but shall also assure itself that the equipment is being used in Title I service delivery.

State of Iowa  
**DEPARTMENT OF EDUCATION**  
Grimes State Office Building  
Des Moines, Iowa 50319-0146

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It is the policy of the Iowa Department of Education not to discriminate on the basis of race, color, national origin, gender, disability, religion, creed, age or marital status in its programs or employment practices. If you have questions or grievances related to this policy please contact Deb Van Gorp, Chief, Bureau of Administration, Instruction and School Improvement, Grimes State Office Building, Des Moines, IA 50319, (515) 281-5311.